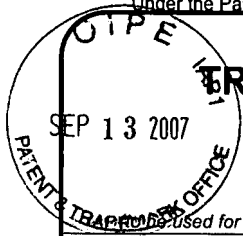


Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.



# TRANSMITTAL FORM

This form is used for all correspondence after initial filing)

Total Number of Pages in This Submission

11

Application Number

10/733,808

Filing Date

December 10, 2003

First Named Inventor

Chris Hopen

Art Unit

2154

Examiner Name

Joshua Joo

Attorney Docket Number

PA4407US

## ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to TC
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	1) Confirmation postcard;
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	2) Duplicate of PTO/SB/08 (3pp x2);
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	3) Duplicate of IDS (2pp x2).
<input type="checkbox"/> Reply to Missing Parts/Incomplete Application	<input type="checkbox"/> Landscape Table on CD	4) 17 Non-patent references.
<input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53		

Remarks

Total page number does not include postcard or non-patent references.

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name	Carr & Ferrell LLP			Cust. No. 22830
Signature				
Printed name	Tam Thanh Pham			
Date	September 10, 2007	Reg. No.	50,565	

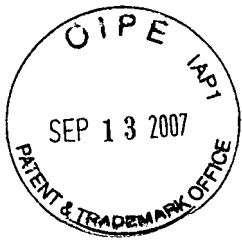
## CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature			
Typed or printed name	Tam Thanh Pham, Reg. No. 50,565	Date	September 10, 2007

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Chris Hopen et al.  
APPLICATION NO.: 10/733,808  
FILED: December 10, 2003  
TITLE: Network Appliance  
EXAMINER: Joshua Joo  
GROUP ART UNIT: 2154  
ATTY.DKT.NO.: PA4407US

---

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on September 10, 2007.

---

Tam Thanh Pham, Reg. No. 50,565

---

MAIL STOP AMENDMENT  
COMMISSIONER FOR PATENTS  
P.O. BOX 1450  
ALEXANDRIA, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
Under 37 C.F.R. §§ 1.56, and 1.97-1.98

SIR:

Pursuant to the provisions of 37 C.F.R. §§ 1.56 and 1.97-98 of the Rules of Practice in Patent Cases, enclosed herewith is form PTO-SB-08, listing several references.

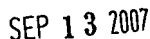
The Examiner is requested to make these references of official record in the application. The references cited may be material to examination of the application and are submitted in compliance with Applicant's duty of disclosure as defined by 37 C.F.R. § 1.56. No representation is made or intended as to the completeness of this list, nor is the inclusion of any reference on this list an admission that it is prior art or pertinent to this application.

Applicants believe no fees are due with this submission. If a fee is due, however, the Commissioner is hereby authorized to charge any necessary fee to Account Number 06-0600. A copy of this statement is submitted in duplicate for this purpose.

Respectfully submitted,  
Chris Hopen et al.

September 10, 2007

By:   
Tam Thanh Pham, Reg. No. 50,565  
**Carr & Ferrell LLP**  
2200 Geng Road  
Palo Alto, CA 94303  
TEL: (650) 812-3400  
FAX: (650) 812-3444



Approved for use through 09/30/2007. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**(Use as many sheets as necessary)**

Sheet	1	of	3
-------	---	----	---

**Complete if Known**

Application Number	10/733,808
Filing Date	December 10, 2003
First Named Inventor	Chris Hopen
Art Unit	2154
Examiner Name	Joshua Joo
Attorney Docket Number	PA4407US

## U. S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

Examiner  
Signature

Date  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

**If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.**

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number 10/733,808

Filing Date December 10, 2003

First Named Inventor Chris Hopen

Art Unit 2154

Examiner Name Joshua Joo

Attorney Docket Number PA4407US

Sheet 2

of

3

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		"SA-1000: An entry-level SSL VPN solution for secure access," Aventail Data Sheet, 2003 Aventail Corporation.	
		"Roaming Internet Access: Easy. Cost-effective. Global," Aventail.Net Manged Service, Aventail Data Sheet, 2003 Aventail Corporation.	
		"Managed Directory: Reduce Administration. Enable single sign-on," Aventail.Net Managed Service, Aventail Data Sheet, 2003 Aventail Corporation.	
		"User Management: Simplified administration. Fast user activation," Aventail.Net Manged Service, Aventail Data Sheet, 2003 Aventail Corporation.	
		"Aventail EX-1500," SC Magazine Best Buy, Groupt Test VPNs, SC Magazine September 2003.	
		Aventail, Corporate Overview, 2002 Aventail Corporation.	
		MICHAEL VIZARD, "Aventail CEO Evan Kaplan explains why infrastructure service providers are emerging as strategic IT partners," Interviews, InfoWorld, June 8, 2001, 2001 InfoWorld Media Group, Inc.	
		HEATHER B. HAYES, "Security for hire," Professional Edge, InfoWorld, December 10, 2001, Issue 50, 2001 InfoWorld Media Group, Inc.	
		Awards and Recognition, Aventail, 2003 Aventail Corporation.	
		"Aventail EX-1500," Product Data Sheet, 2003 Aventail Corporation.	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number 10/733,808

Filing Date December 10, 2003

First Named Inventor Chris Hopen

Art Unit 2154

Examiner Name Joshua Joo

Sheet 3 of 3 Attorney Docket Number PA4407US

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Field Notes, "Outsourcing Can Help," ComputerWorld, July 15, 2002, Vol. 36, No. 29, 2002 Computerworld, Inc.	
		ANN BEDNARZ et al., "The 50 Most Powerful People in Networking," Network World Reprint, October 21, 2002, Vol. 19, No. 42, 2002 Network World, Inc.	
		CHRIS HOPEN, "Face-off: Are SSL-based VPNs a better bet than IPsec VPNs?", Network World Reprint, August 4, 2003, Vol. 20, No. 31, 2003 Network World, Inc.	
		MARK BRADSHAW, "Virtually Complete," European Communications, Reprinted from Summer 2003, www.eurocomms.co.uk.	
		"Aventail Anywhere VPN Module," Aventail Technical Overview, 2002 Aventail Corporation.	
		"SA-900: An enterprise-class SSL VPN solution for secure access," Aventail Data Sheet, 2003 Aventail Corporation.	
		"Aventail ExtraWeb Module," Aventail Technical Overview, 2002 Aventail Corporation.	

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.